

SEARCHED

Class	Sub.	Date	Exmr.
436	500	8-5-03	D.A.D.
436	501	8-5-03	D.A.D.
436	504		
436	505		
435	7.5		
435	7.9		
update search		2-2-04	D.A.D.
update search		8-9-05	D.A.D.

INTERFERENCE SEARCHED

Class	Sub.	Date	Exmr.

SEARCH NOTES (INCLUDING SEARCH STRATEGY)

	Date	Exmr.
STIC	8-5-03	D.A.D.
IDS	8-5-03	
Palm Investor search	8-5-03	
East	8-5-03	
STN investor search	8-6-03	D.A.D.
Discussed case strategy with primary examiner KEMMERER found trading that trader disadvantages facing a RIA. (8-7-03)		
update search	2-2-04	D.A.D.
Quality		
o Yvonne Eyer	8-8-05	D.A.D.
Discussed w/ quality person and it was concluded to maintain rejection		
Primary Susan Ungar	8-9-05	D.A.D.